

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

0112300-1630

In Re Application Of: Baerlocher

JAN 11 2005

P-10  
PATENT & TRADEMARK OFFICE

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/657,366	September 8, 2003	Unknown	29159	3713	9500

**Title: GAMING DEVICE HAVING CONVERTIBLE REEL SYMBOLS**

Address to:

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**37 CFR 1.97(b)**

1.  The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2.  The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

the statement specified in 37 CFR 1.97(e);

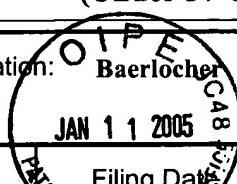
**OR**

the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
 (Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
 0112300-1630

In Re Application:



Baerlocher

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/657,366	September 8, 2003	Unknown	29159	3713	9500

Title: **GAMING DEVICE HAVING CONVERTIBLE REEL SYMBOLS**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- A check in the amount of \_\_\_\_\_ is attached.
- The Director is hereby authorized to charge and credit Deposit Account No. 02-1818 as described below.
  - Charge the amount of \_\_\_\_\_
  - Credit any overpayment.
  - Charge any additional fee required.
- Payment by credit card. Form PTO-2038 is attached.

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

**Certificate of Transmission by Facsimile\***

I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No.

\_\_\_\_\_  
 (Date)

\_\_\_\_\_  
 Signature

\_\_\_\_\_  
 Typed or Printed Name of Person Signing Certificate

**Certificate of Mailing by First Class Mail**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to "Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450" [37 CFR 1.8(a)] on

January 7, 2005

\_\_\_\_\_  
 (Date)

\_\_\_\_\_  
 Heather Foster  
 Signature of Person Mailing Correspondence

\_\_\_\_\_  
 Typed or Printed Name of Person Mailing Certificate

\*This certificate may only be used if paying by deposit account.

Adam H. Masia  
 Signature

Adam H. Masia (Reg. No. 35,602)

BELL, BOYD & LLOYD LLC

P. O. Box 1135

Chicago, Illinois 60690-1135

Phone: (312) 807-4284

Dated: **January 7, 2005**

CC:



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Anthony J. Baerlocher  
Appl. No.: 10/657,366  
Conf. No.: 9500  
Filed: September 8, 2003  
Title: GAMING DEVICE HAVING CONVERTIBLE REEL SYMBOLS  
Art Unit: 3713  
Examiner: Unknown  
Docket No.: 0112300-1630

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

In accordance with the provisions of 37 C.F.R. 1.56, 37 C.F.R. 1.97, and 37 C.F.R. 1.98, Applicants request that a citation and examination of the references cited below, and on the attached PTO-1449 form, be made during the course of examination of the above-identified application for United States patent. Pursuant to the Official Gazette Notice dated August 5, 2003, copies of the cited U.S. patents and patent applications are not included as this application was filed after June 30, 2003. However, copies of all other cited references are included with this form.

**U.S. PATENT DOCUMENTS**

<u>Document No.</u>	<u>Date</u>	<u>Inventor</u>
4,838,552	June 13, 1989	Hagiwara
5,308,065	May 3, 1994	Bridgeman et al.
5,332,228	July 6, 1994	Schultz
5,393,061	February 28, 1995	Manship et al.
5,423,539	June 13, 1995	Nagao
5,431,408	July 11, 1995	Adams
5,449,173	September 12, 1995	Thomas et al.
5,580,053	December 3, 1996	Crouch
5,611,535	March 18, 1997	Tiberio
5,766,074	June 16, 1998	Cannon et al.
5,769,716	June 23, 1998	Saffari et al.
5,823,873	October 20, 1998	Moody

5,833,536	November 10, 1998	Davids et al.
5,833,537	November 10, 1998	Barrie
5,927,714	July 27, 1999	Kaplan
5,935,002	August 10, 1999	Falciglia
5,980,384	November 9, 1999	Barrie
6,056,642	May 2, 2000	Bennett
6,059,658	May 9, 2000	Mangano et al.
6,089,977	July 18, 2000	Bennett
6,093,102	July 25, 2000	Bennett
6,120,031	September 19, 2000	Adams
6,149,521	November 21, 2000	Sanduski
6,159,095	December 12, 2000	Frohm et al.
6,174,235 B1	January 16, 2001	Walker et al.
6,190,254 B1	February 20, 2001	Bennett
6,220,959 B1	April 24, 2001	Holmes, Jr. et al.
6,251,013 B1	June 26, 2001	Bennett
6,299,165 B1	October 9, 2001	Nagano
6,299,170 B1	October 9, 2001	Yoseloff
6,302,398 B1	October 16, 2001	Vecchio
6,311,976 B1	November 6, 2001	Yoseloff et al.
6,319,124 B1	November 20, 2001	Baerlocher et al.
6,322,078 B1	November 27, 2001	Adams
6,358,144 B1	March 19, 2002	Kaddlic et al.
6,364,766 B1	April 2, 2002	Anderson et al.
6,413,162 B1	June 2, 2002	Baerlocher et al.
6,398,644 B1	June 4, 2002	Perrie et al.
6,416,408 B2	July 9, 2002	Tracy et al.
6,419,579 B1	July 16, 2002	Bennett
6,428,412 B1	August 6, 2002	Anderson et al.
6,439,993 B1	August 27, 2002	O'Halloran
6,439,993 B1	August 27, 2002	O'Halloran
6,454,266 B1	September 24, 2002	Breeding, et al.

6,494,454 B1	December 17, 2002	Adams
6,506,114 B1	January 14, 2003	Estes et al.
6,517,432 B1	February 11, 2003	Jaffe
6,551,187 B1	April 22, 2003	Jaffe
6,561,904 B2	May 13, 2003	Locke et al.
6,565,433 B1	May 20, 2003	Baerlocher
6,585,591 B1	July 1, 2003	Baerlocher et al.
6,604,740 B1	August 12, 2003	Singer et al.
6,616,142 B2	September 9, 2003	Adams
6,644,663 B2	November 11, 2003	Seelig et al.
6,514,141 B1	February 4, 2004	Kaminkow et al.
6,719,630 B1	April 13, 2004	Seelig et al.
6,731,313 B1	May 4, 2004	Kaminkow
2003/0100356 A1	May 29, 2003	Brown et al.
2003/0203752 A1	October 30, 2003	Kaminkow et al.
2003/0203753 A1	October 30, 2003	Muir et al.

#### OTHER DOCUMENTS

Game Quest Advertisement written by IGT, published 2002.

Othello Website printed July 7, 2003.

Slots 2003 Article written by Strictly Slots, published January 2003.

Applicants look forward to early and favorable consideration of this matter.

Respectfully submitted,

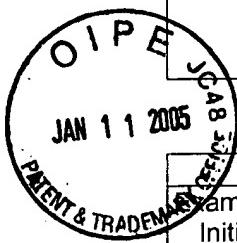
BELL, BOYD & LLOYD LLC

BY 

Adam H. Masia  
Reg. No. 35,602  
P.O. Box 1135  
Chicago, Illinois 60690-1135  
Phone: (312) 807-4284

Dated: January 7, 2005

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary) PTO Form 1449		Atty Docket No. 0112300-1630	Application No. 10/657,366
		Applicant Anthony J. Baerlocher	
		Filing Date September 8, 2003	Group 3713



<b>U.S. PATENT DOCUMENTS</b>							
Examiner's Initials	Document Number	Publication Date	Inventor	Class	Subclass	Filing Date If Appropriate	
	4,838,552	June 13, 1989	Hagiwara				
	5,308,065	May 3, 1994	Bridgeman et al.				
	5,332,228	July 6, 1994	Schultz				
	5,393,061	February 28, 1995	Manship et al.				
	5,423,539	June 13, 1995	Nagao				
	5,431,408	July 11, 1995	Adams				
	5,449,173	September 12, 1995	Thomas et al.				
	5,580,053	December 3, 1996	Crouch				
	5,611,535	March 18, 1997	Tiberio				
	5,766,074	June 16, 1998	Cannon et al.				
	5,769,716	June 23, 1998	Saffari et al.				
	5,823,873	October 20, 1998	Moody				
	5,833,536	November 10, 1998	Davids et al.				
	5,833,537	November 10, 1998	Barrie				
	5,927,714	July 27, 1999	Kaplan				
	5,935,002	August 10, 1999	Falciglia				
	5,980,384	November 9, 1999	Barrie				
	6,056,642	May 2, 2000	Bennett				
	6,059,658	May 9, 2000	Mangano et al.				
	6,089,977	July 18, 2000	Bennett				
	6,093,102	July 25, 2000	Bennett				
	6,120,031	September 19, 2000	Adams				
	6,149,521	November 21, 2000	Sanduski				
	6,159,095	December 12, 2000	Frohm et al.				
	6,174,235 B1	January 16, 2001	Walker et al.				
	6,190,254 B1	February 20, 2001	Bennett				
	6,220,959 B1	April 24, 2001	Holmes, Jr. et al.				

Examiner:	Date Considered:
*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary) PTO Form 1449		Atty Docket No. 0112300-1630	Application No. 10/657,366
		Applicant Anthony J. Baerlocher	
		Filing Date September 8, 2003	Group 3713

<b>U.S. PATENT DOCUMENTS</b>							
Examiner's Initials	Document Number	Publication Date	Inventor	Class	Subclass	Filing Date If Appropriate	
	6,251,013 B1	June 26, 2001	Bennett				
	6,299,165 B1	October 9, 2001	Nagano				
	6,299,170 B1	October 9, 2001	Yoseloff				
	6,302,398 B1	October 16, 2001	Vecchio				
	6,311,976 B1	November 6, 2001	Yoseloff et al.				
	6,319,124 B1	November 20, 2001	Baerlocher et al.				
	6,322,078 B1	November 27, 2001	Adams				
	6,358,144 B1	March 19, 2002	Kaddlic et al.				
	6,364,766 B1	April 2, 2002	Anderson et al.				
	6,413,162 B1	June 2, 2002	Baerlocher et al.				
	6,398,644 B1	June 4, 2002	Perrie et al.				
	6,416,408 B2	July 9, 2002	Tracy et al.				
	6,419,579 B1	July 16, 2002	Bennett				
	6,428,412 B1	August 6, 2002	Anderson et al.				
	6,439,993 B1	August 27, 2002	O'Halloran				
	6,439,993 B1	August 27, 2002	O'Halloran				
	6,454,266 B1	September 24, 2002	Breeding, et al.				
	6,494,454 B1	December 17, 2002	Adams				
	6,506,114 B1	January 14, 2003	Estes et al.				
	6,517,432 B1	February 11, 2003	Jaffe				
	6,551,187 B1	April 22, 2003	Jaffe				
	6,561,904 B2	May 13, 2003	Locke et al.				
	6,565,433 B1	May 20, 2003	Baerlocher				
	6,585,591 B1	July 1, 2003	Baerlocher et al.				
	6,604,740 B1	August 12, 2003	Singer et al.				
	6,616,142 B2	September 9, 2003	Adams				
	6,644,663 B2	November 11, 2003	Seelig et al.				

Examiner:	Date Considered:
*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary)	Atty Docket No. <b>0112300-1630</b>	Application No. <b>10/657,366</b>
	Applicant <b>Anthony J. Baerlocher</b>	
	Filing Date <b>September 8, 2003</b>	Group <b>3713</b>
PTO Form 1449		

**Examiner:** \_\_\_\_\_ **Date Considered:** \_\_\_\_\_

\*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary)	Atty Docket No. <b>0112300-1630</b>	Application No. <b>10/657,366</b>
	Applicant <b>Anthony J. Baerlocher</b>	
	Filing Date <b>September 8, 2003</b>	Group <b>3713</b>
PTO Form 1449		

**Examiner:** \_\_\_\_\_ **Date Considered:** \_\_\_\_\_

\*Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.